

Purpose

To establish a policy for personnel records and a procedure for employees who want to alter their personnel records.

Policy

The official personnel record of each employee will be maintained by the Department's Human Resource Office. All documents related to the employee should be maintained in the employee's official record.

If regions or groups keep an additional file on an employee, it will be considered part of the official file. The region/group leader will be responsible for assuring the security of such files and such files must be placed in locking type file cabinets or in secured rooms. Region/group records shall be considered a supplement to the central record and shall be subject to the rules governing personnel records.

Only information that is relevant and necessary to carry out the proper purpose of the Department may be collected or maintained.

Employment verification requests shall be in writing and initiated by the employee.

An employee has a right to review his/her personnel record. If the employee requests copies of information shown to him/her, the cost of the copies should be charged to the employee.

Warning notices or letters of a disciplinary action will remain in the employee's personnel record for five years. Warning notices or letters of a disciplinary nature may be removed from an employee's file with management's approval, if there has been no occurrence of disciplinary action within 5 years, the employee's performance is satisfactory.

Background

This policy and procedure is in compliance with the Department of Human Resource Management's rules.

Definitions

Personnel Record: A work history of an employee while employed by the State of Utah.

Procedures

Personnel Record

UDOT 05C-10.1

PURGING FILE OF WARNING NOTICE AND DISCIPLINARY DOCUMENTS

Warning notices or letters of a disciplinary nature may be removed from an employee's file with management's approval if there has been no occurrence of disciplinary action within 5 years, the employee's performance is satisfactory.

Responsibility: Employee

1. Makes written request to the Region/Group Leader or designee to have specific warning notices or disciplinary documents removed.

Responsibility: Region/Group Leader or designee

2. Obtains concurrence from the region/group in which the document originated and the employee's current region/group.
3. Responds in writing to the request indicating their approval or disapproval of the removal of the warning notice or disciplinary documents.
4. Submits approved request to the Human Resource Director or designee to have warning notices or disciplinary documents removed from an employee's record.

Responsibility: Human Resource Director or designee

5. Removes documents from employee record.
6. Files the request and the response to the request in separate file.

CORRECT, AMEND OR CHALLENGE INFORMATION IN PERSONNEL RECORD

Responsibility: Employee

7. Submit written request to Human Resource Office with documentation concerning requested changes.

Responsibility: Human Resource Office

8. Contacts area responsible for error and verify correct information.

9. Enters corrected information in employee's file or responds to employee why the record will not be changed.

Responsibility: Employee

10. May appeal decision to the Executive Director, Department of Human Resource Management.